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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 130)

Complete If Known

Application Number	09/387,340
Filing Date	August 31, 1999
First Named Inventor	Needleman et al.
Examiner Name	Minh-Tam Davis
Group / Art Unit	1642
Attorney Docket No.	061765.00367

METHOD OF PAYMENT (check one)					FEE CALCULATION (continued)																																																																																																																																																																																														
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <input type="text" value="19-0733"/></p> <p>Deposit Account Name <input type="text" value="Banner &amp; Witcoff, Ltd."/></p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>					<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th colspan="2">Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or cover sheet.</td><td><input type="checkbox"/></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td><input type="checkbox"/></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td><input type="checkbox"/></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td><input type="checkbox"/></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td><input type="checkbox"/></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td><input type="checkbox"/></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td><input type="checkbox"/></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td><input type="checkbox"/></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td><input type="checkbox"/></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td><input type="checkbox"/></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td><input type="checkbox"/></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td><input type="checkbox"/></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td><input type="checkbox"/></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td><input type="checkbox"/></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td><input type="checkbox"/></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td><input type="checkbox"/></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td><input type="checkbox"/></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td><input type="checkbox"/></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td><input type="checkbox"/></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td><input type="checkbox"/></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td><input type="checkbox"/></td></tr> <tr><td>123</td><td>130</td><td>123</td><td>130</td><td>Petitions related to provisional applications</td><td><input type="checkbox"/></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td><input type="checkbox"/></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td><input type="checkbox"/></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td><input type="checkbox"/></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td><input type="checkbox"/></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td><input type="checkbox"/></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td><input type="checkbox"/></td></tr> <tr> <td colspan="5">Other fee (specify) <u>Fee Code 194 - 37 CFR 1.17(i)</u></td> <td>130</td> </tr> <tr> <td colspan="5">*Reduced by Basic Filing Fee Paid</td> <td>SUBTOTAL (3) <input type="text" value="(\$ 0)"/></td> </tr> </tbody> </table>					Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description		Fee Paid	105	130	205	65	Surcharge - late filing fee or cover sheet.	<input type="checkbox"/>	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	<input type="checkbox"/>	139	130	139	130	Non-English specification	<input type="checkbox"/>	147	2,520	147	2,520	For filing a request for reexamination	<input type="checkbox"/>	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	<input type="checkbox"/>	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	<input type="checkbox"/>	115	110	215	55	Extension for reply within first month	<input type="checkbox"/>	116	390	216	195	Extension for reply within second month	<input type="checkbox"/>	117	890	217	445	Extension for reply within third month	<input type="checkbox"/>	118	1,390	218	695	Extension for reply within fourth month	<input type="checkbox"/>	128	1,890	228	945	Extension for reply within fifth month	<input type="checkbox"/>	119	310	219	155	Notice of Appeal	<input type="checkbox"/>	120	310	220	155	Filing a brief in support of an appeal	<input type="checkbox"/>	121	270	221	135	Request for oral hearing	<input type="checkbox"/>	138	1,510	138	1,510	Petition to institute a public use proceeding	<input type="checkbox"/>	140	110	240	55	Petition to revive - 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**or number previously paid, if greater; For Reissues, see above																																																																																																																																																																																																			

SUBMITTED BY						Complete (if applicable)	
Name (Print/Type)	Joseph M. Skerpon	Registration No. Attorney/Agent)	29,864	Telephone	202-508-9100		
Signature				Date	February 19, 2002		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	4-20* =	0	x \$18=	\$ 0
	INDEPENDENT CLAIMS 37 CFR 1.16(b) or (i))	1-3** =	0	x \$84=	0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))	0		x \$280=	0
				BASIC FEE (37 CFR 1.16)	740
				Total of above Calculations =	740
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				
	* Reissue claims in excess of 20 and over original patent.			TOTAL =	740
	** Reissue independent claims over original patent.				

6.  Small entity status: Applicant claims small entity status. See 37 CFR 1.27.

7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No.19 - 0733 :

- Fees required under 37 CFR 1.16.
- Fees required under 37 CFR 1.17.
- Fees required under 37 CFR 1.18.

8.  A check in the amount of \$ \_\_\_\_\_ is enclosed.

9.  Payment by credit card. Form PTO-2038 is attached.

10.  Applicant requests suspension of action under 37 CFR 1.103(b) (fee under 37 CFR 1.17(l) enclosed).

11.  New Attorney Docket Number, if desired  
(IPrior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.)

12. a.  Receipt For Facsimile Transmitted CPA (PTO/SB/29A)  
b.  Return Receipt Postcard (Should be specifically itemized, See MPEP 503)

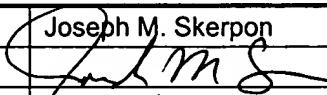
13.  Other: Petition for Extension of Time (attached)

**NOTE:** The prior application's correspondence address will carry over to this CPA  
UNLESS a new correspondence address is provided below.

#### 12. NEW CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	22907 <small>(Insert Customer No. or Attach bar code label here)</small>	<input type="checkbox"/> New correspondence address below
Name		
Address		
City	State	Zip Code
Country	Telephone	Fax

#### 13. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print /Type)	Joseph M. Skerpon
Signature	
Registration No. (Attorney/Agent)	29,864
Date	January 4, 2002

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application Of )  
NEEDLEMAN et al. ) Group Art Unit 1642  
Serial No. 09/387,340 ) Examiner: Minh-Tam Davis  
Filed: August 31, 1999 )  
Continued Prosecution Application ) Atty. Docket: MON-102.0-C  
Filed: January 4, 2002 ) (3119-C)(061765.00367)

For: **AN IMMUNOLOGICAL PROCESS FOR INCREASING THE HDL  
CHOLESTROL CONCENTRATION (AS AMENDED)**

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KJ  
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SECOND PRELIMINARY AMENDMENT

The Honorable Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Sir:

This paper is submitted to amend the title of the pending application to make it more descriptive of the currently pending claims and to add some additional dependent claims. Applicants do not believe any fee is required to enter the amendment. If a fee is due, applicants hereby authorize the charging of Deposit Account No. 19-0733 for any such fee(s). Applicants also wish to correct an incorrect reference in the previously submitted Supplemental Information Disclosure Statement.

**IN THE TITLE**

Please replace the current title with the following:

**AN IMMUNOLOGICAL PROCESS FOR INCREASING THE HDL  
CHOLESTROL CONCENTRATION**

**IN THE CLAIMS**

Please add new claims 48 through 51 as follows: